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## **SAM—GRANTS**

**GENERAL**  
(New 1/63)

**0900**

Research of general public interest and benefit is a concern of state government and should be furthered, provided that such research does not unduly interfere with prescribed state programs and functions, and is in accord with the intent and desire of the State Legislature and state law. The following provisions relating to the acceptance and administration of public and private organization grants for research are not intended to interfere with or discourage the furtherance of desirable research. Neither are they intended to prohibit the incidental use of state equipment and facilities or otherwise discourage the personal study and development of state-employed scholars and professional personnel. These provisions are intended to establish uniform general principles concerning the administration of grant funds, reasonable use of state employees, and reasonable recovery of the state's expense in the performance of grant-funded projects.

Many private or public organizations grant funds to finance research and other projects which involve state employees, facilities, and operating costs. These projects are generally, but not necessarily always, of public interest and concern.

## **SAM—GRANTS**

### **RESEARCH GRANTS ADMINISTERED BY STATE AGENCIES OR AUXILIARY ORGANIZATIONS**

**0910**

(New 1/63)

The Legislature has authorized and appropriated funds to some departments specifically to conduct research in connection with the department's authorized functions and programs. These departments administer grant funds through normal state financial procedures.

Many grants are made that involve state employees, facilities, and operating costs of state agencies and institutions that the Legislature has not specifically authorized for the performance of research and for which no appropriation of state funds have been made for this purpose. Often such grants are accepted and administered by "auxiliary" organizations and corporations formed by state employees of the agency or institution involved. The research is performed at the state institution or agency using state facilities and often by or under the direction of state employees. It is probable that many of these grants are awarded in recognition of the state facility and state employment of the personnel involved.

**MANDATED STATE CLEARINGHOUSE'S ROLE**  
(Revised 03/03)

**0911**

1. The State Clearinghouse (SCH) reviews federally funded grants mandated by Executive Order (E.O.) 12372, Appendix I of the Catalog of Federal Domestic Assistance. Any state, independent, or local agency applying or planning to apply for federal funds should contact the SCH and verify that their Catalog of Federal Domestic Assistance Number (CFDA Number) is one of the grants subjected to state review. The SCH requires that a federal Standard Form 424 (usually the front application page) be submitted at least 30 to 60 days prior to the final deadline set by the federal agency. The SCH does not set nor know the final deadlines for grants and will accept a federal Standard Form 424 at any time. The applicant is responsible for submitting their grant application in sufficient time to meet all deadlines. *State agencies and departments who apply for federal funds are responsible for including a provision for recovery of indirect costs as described in Government Code sections 13332.01 and 13332.02 and reiterated in SAM section 8755.1*
2. In addition, the SCH **does not** have information on federally funded grants. Information can be obtained by calling the federal agency funding the grant or by looking in the Catalog of Federal Domestic Assistance.
3. The SCH will send a letter to the applicant at the end of the review period. If the SCH does not receive comments on a grant, the review will close 30 days after submittal. If comments are received, then the review period will close 60 days after submittal. All grant applications are sent out for review in the State Clearinghouse Newsletter. Federal agencies who require this letter will contact the SCH.
4. The SCH does not deal with form CA-189, only the federal Standard Form 424 and those grants mandated for review by E.O. 12372.
5. General Review. Once a federal Standard Form 424 (see Appendix C) has been submitted to the SCH and assigned a number, it is put out for review in the State Clearinghouse Newsletter. This newsletter is sent to all state agencies, area clearinghouses, local libraries, university libraries, and private citizens (at their request). The SCH requires that a federal Standard Form 424 (usually the front application page) be submitted at least 30 to 60 days prior to the final deadline set by the federal agency. If the SCH does not receive comments on a grant, the review will close 30 days after submittal. If comments are received, then the review period will close 60 days after submittal. All comments will be forwarded to the applicant.
6. This review process is standard for all grants that are listed under E.O. 12372. A grant that does not fall under the E.O. 12372 should not be submitted to the SCH. Not all federally funded grants fall under E.O. 12372 for state review.
7. This is the only role of the SCH in relation to federally funded grants. The SCH does not play a role in the review, awarding, or funding of state grants.

**FEDERAL GRANTS**

**0912**

(Revised 06/12)

Review by Department of Finance (DOF)

Pursuant to the provisions of Government Code section 13326, advance approval for application to the federal government is delegated to agencies/departments, except requests for federal funds for the following:

1. "New" activities not included in the budget,
2. Activities which have been previously denied by the Administration or the Legislature, and
3. Sensitive policy issues. The determination of a "sensitive policy" issue is at the discretion of the agency/department making the request for federal funds.

**Budgeted Grant Requests**

Requests for federal funds which can be anticipated should be included and justified as part of the departmental budget request. For budgeted grant requests, the applicant must file federal Standard Form 424 with the SCH prior to the publication of the Governor's Budget document for the fiscal year for which the grant is requested. The remittance advice for receipt of a budgeted grant request should cite the SCH identification number.

**Unbudgeted Grant Requests**

Requests for federal grants that were not anticipated ("unbudgeted") must be forwarded to DOF if they meet any of the criteria specified above (Items 1, 2 and 3 - Review By DOF). For each grant request meeting this criteria, departments must submit a "Federal Grant Request" form DF-24. See Appendix D. Agency approval must be obtained prior to submission to DOF, except that departments which do not report to an agency secretary are to submit their requests directly to DOF. Forms must be submitted to DOF at least 10 working days prior to the federal deadline for application. Constitutional Officers, the University of California, and the California State University are not required to obtain DOF approval. Departments are also responsible for determining if any request for unanticipated federal funds meets the criteria for legislative notification set forth in Control Section 28.00 of the annual Budget Act. If requests meet the notification criteria, departments are also responsible for submitting the appropriate Section 28.00 materials to DOF along with the "Federal Grant Request" form DF-24.

After approval is received by DOF for an unbudgeted grant request, the applicant must also file federal Standard Form 424 with the SCH.

**Employer/Taxpayer Identification Number for Grant Requests**

The federal Standard Form 424 must include the Employer/Taxpayer Identification Number that was assigned to the department by the Internal Revenue Service (See also SAM section 8422.19).

**State, Metropolitan, and Regional Clearinghouses**

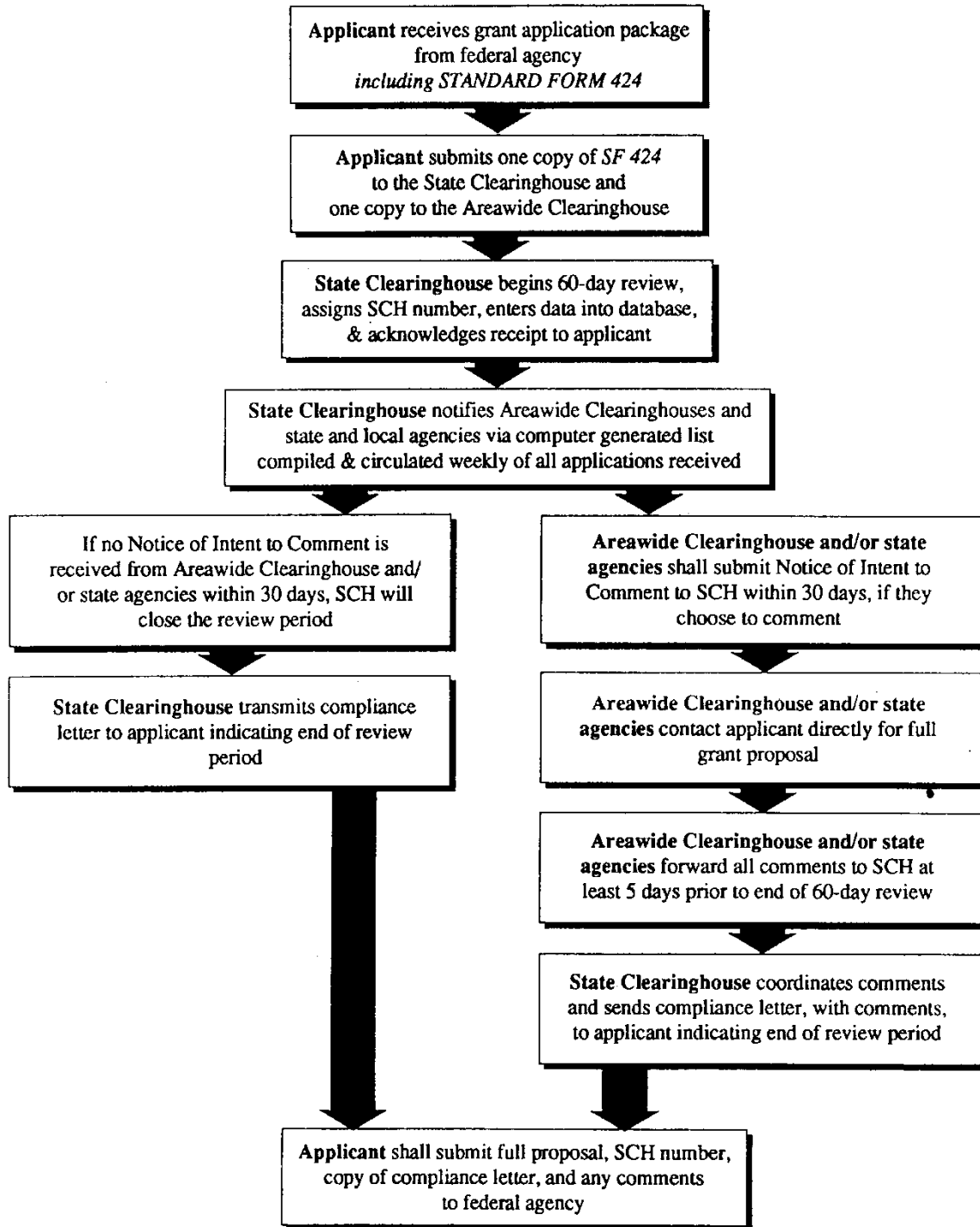
For a list of Areawide, Metropolitan, and Regional Clearinghouses, see Appendix B.

The address and telephone number of the SCH is:

California State Clearinghouse  
Office of the Governor  
Office of Planning and Research  
1400 Tenth Street  
Sacramento, California 95814

Telephone: (916) 445-0613

**California State Clearinghouse  
(SCH)  
Flowchart for Federal Assistance Review**



# California State and Areawide Clearinghouses

**California State Clearinghouse**  
1400 10th Street, Room 121  
Sacramento, CA 95814  
(916) 323-9565

**Association of Bay Area Governments (ABAG)**  
P.O. Box 2050  
Oakland, CA 94604  
(510) 464-7900

*Region: Alameda County; Contra Costa County; Marin County; Napa County; San Francisco County; San Mateo County; Santa Clara County; Solano County; Sonoma County*

**Association of Monterey Bay Area Governments (AMBAG)**  
P.O. Box 190  
Monterey, CA 93942  
(408) 373-6116

*Region: Monterey County; Santa Cruz County*

**Central Sierra Planning Council and Economic Development District**  
83 South Stewart Street  
Sonoma, CA 95370  
(209) 532-8768

*Region: Alpine County; Amador County; Calaveras County; Tuolumne County*

**Council of Fresno County Governments (COFCG)**  
2100 Tulare Street, Suite 619  
Fresno, CA 93721  
(209) 233-4148

*Region: Fresno County*

**Humboldt County Association of Governments (HCAG)**  
235 4th Street, Suite F  
Eureka, CA 95501  
(707) 444-8208

*Region: Humboldt County*

**Kern County Council of Governments (Kern COG)**  
Kress Building  
1401 19th Street, Suite 200  
Bakersfield, CA 93301  
(805) 861-2191

*Region: Kern County*

**Kings County Regional Planning Agency (KCRPA)**  
Government Center  
1400 West Lacey Boulevard  
Hanford, CA 93230  
(209) 582-3211, Ext. 2670

*Region: Kings County*

**Merced County Association of Governments (MCAG)**  
1770 M Street  
Merced, CA 95348  
(209) 723-3153

*Region: Merced County*

**Sacramento Area Council of Governments (SACOG)**  
106 K Street, Suite 200  
Sacramento, CA 95814  
(916) 441-5930

*Region: Placer County (part); Sacramento County; Sutter County; Yolo County; Yuba County*

**San Diego Association of Governments (SANDAG)**  
First Interstate Plaza  
401 B Street, Suite 800  
San Diego, CA 92101  
(619) 236-5300

*Region: San Diego County*

**San Joaquin Council of Governments (SJCOG)**  
1860 E. Hazelton Ave.  
Stockton, CA 95205  
(209) 468-3913

*Region: San Joaquin County*

**Santa Barbara County-Cities Area Planning Council**  
123 East Anapamu  
Santa Barbara, CA 93101  
(805) 568-2000

*Region: Santa Barbara County*

**Sierra Planning Organization and Economic Development District**  
1230 High Street, Suite 224  
Auburn, CA 95603  
(916) 823-4703

*Region: El Dorado County; Nevada County; Placer County (part); Sierra County (part)*

**Southern California Association of Governments (SCAG)**  
818 West 7th Street, 12th Floor  
Los Angeles, CA 90017  
(213) 236-1800

*Region: Imperial County; Los Angeles County; Orange County; San Bernardino County; Ventura County*

**Stanislaus Area Association of Governments (SAAG)**  
1315 I Street  
Modesto, CA 95354  
(209) 525-7830

*Region: Stanislaus County*

**Tulare County Association of Governments (TCAG)**  
County Courthouse, Rm. 111  
Visalia, CA 93291  
(209) 733-6303

*Region: Tulare County*

## Appendix C

# APPLICATION FOR FEDERAL ASSISTANCE

**Previous Editions Not Usable**

Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

**Rev. 381**



STATE OF CALIFORNIA  
DEPARTMENT OF FINANCE  
DF-24 (4/97)

**FEDERAL GRANT REQUEST**

Date: \_\_\_\_\_

I. Department \_\_\_\_\_ II. Program \_\_\_\_\_

III. Grant Title \_\_\_\_\_ IV. Application Amount \_\_\_\_\_

V. Brief Description: (Please attach a copy of the federal register.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

VI. Budget Impact:	Yes	No
1. Is this a new activity not included in the budget?	<input type="checkbox"/>	<input type="checkbox"/>
2. Has this activity ever been denied by the Administration or the Legislature?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is this a sensitive policy issue?	<input type="checkbox"/>	<input type="checkbox"/>

VII. If the answer to any of the above is yes, please explain below and send to DOF for approval.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

VIII. Approvals:

\_\_\_\_\_  
Department Director Approval

\_\_\_\_\_  
Agency Secretary Approval

\_\_\_\_\_  
Department of Finance Approval